

**Guidelines for Development  
of  
Contract No. DE-AC02-05CH11231, Appendix B  
Performance Evaluation and Measurement Plan (PEMP)  
Fiscal Year 2008 Self-Appraisal Reports**

**Purpose**

This guidance document is provided for use by LBNL PEMP Functional Managers and the University of California Office of the President (UCOP) in developing the Self-Appraisal Reports for the fiscal year 2008 (FY08) *Performance Evaluation and Measurement Plan* (PEMP) management and operations (M&O) Goals, as required under Prime Contract No. DE-AC02-05CH11231.

**Background**

UCOP will submit to the Department of Energy (DOE) Berkeley Site Office (BSO) an annual Self-Appraisal Report on behalf of LBNL. The annual Self-Appraisal Report is the product of five separate self-appraisal reports, one prepared for each M&O PEMP Goal. LBNL PEMP Functional Managers will take the lead in preparing the Goal Self-Appraisal Reports. However, LBNL PEMP Functional Managers will work closely with their UCOP counterparts in producing a joint final product. To this end, UCOP will not submit separate self-appraisal reports. PEMP Functional Managers are listed at the end of this document.

**Calendar of Activities**

September 22	LBNL PEMP Functional Managers begin developing draft report with UCOP counterparts
October 10	LBNL PEMP Functional Managers submit final draft FY08 Self-Appraisal reports to OIA
October 13- 17	LBNL PEMP Functional Managers and OCA review final FY08 PEMP performance
October 17	OCA, on behalf of LBNL PEMP goal leads, submit draft final FY08 PEMP performance reports to DOE/BSO and UCOP
October 20- 24	PEMP goal teams (LBNL, DOE/BSO, and UCOP functional leads) and OCA meet to review final FY08 PEMP performance
October 31	LBNL PEMP Functional Managers submit final FY08 PEMP performance reports to OCA and UCOP
November 7	UCOP submits final FY08 PEMP report to BSO
November 14	UCOP presentation to BSO on LBNL FY08 performance

## Scoring

The Self-Appraisal Reports should use performance at the Measure level as the basis for determining the Objective scores and, accordingly, the overall Goal score.

### Measure Score

Each Measure should be scored on the A+ to F scale, bearing in mind that the Target is set at B+. Correspondingly, performance that exceeds the Target should receive a score above B+, while performance that fails to meet the target should receive a score below B+. Measure scores should be converted from the A+ to F scale to a 4.3 to 0.0 scale using the following table:

Total Score	4.3-4.1	4.0- 3.8	3.7-3.5	3.4-3.1	3.0-2.8	2.7-2.5	2.4- 2.1	2.0- 1.8	1.7-1.1	1.0-0.8	0.7-0.0
Final Grade	A+	A	A-	B+	B	B-	C+	C	C-	D	F

Assign a score to the nearest tenth of a point, based on performance within the letter grade range.

### Objective Score

As appropriate, the associated protocol document (e.g., Balanced Scorecard, Performance Assessment Model, etc.) should be used to weight the Measure scores. The Objective score is calculated by:

- 1- Multiplying the numerical scores for each Measure by the appropriate weighting factor, and
- 2- Adding the results together to produce the total score for the Objective.

Standard rounding convention is used to round to the nearest tenth of a point. For example, x.44 and less rounds down to the nearest tenth (x.4, in this case), while x.45 and greater rounds up to the nearest tenth (x.5, in this case).

### Goal Score

The Goal score is calculated by:

- 1- Multiplying the numerical scores for each Objective by the appropriate weighting factor, and
- 2- Adding the results together to produce the total score for the Goal.

Standard rounding convention is again used. Each report should provide an overall Goal score between 4.3 and 0.0 that is the sum of scores for each Objective.

## Report Format

LBNL is required to submit a Self-Appraisal report for each PEMP M&O goal. To this end, LBNL PEMP Functional Managers will work closely with their UCOP PEMP counterparts in evaluating performance against the PEMP Goals, Objectives, and Measures. LBNL and UCOP PEMP Functional Managers should reach consensus on these evaluations, which will constitute the essence of the reports. However, UCOP Functional Managers have final authority in performance evaluations. ***Please use the FY07 Self-Appraisal Report as a template for the FY08 Report, but be cognizant of changes to Objectives and Measures.***

The Business Systems Self-Appraisal report should be a single document that combines the contributions of Financial Management, Procurement, Property, Human Resources, Technology

Transfer, Internal Audit, and Information Management. Each discipline should prepare a report that follows the format below. The executive summary for each discipline should be no more than one paragraph. As Business Systems combines numerous disciplines, this Self-Appraisal report will be longer than the others.

Reports should be no more than approximately 12 to 15 pages long (with the exception of Business Systems), not including attachments. ***Use the following format for the report:***

#### Executive Summary

The Executive Summary of the Self-Appraisal report should include:

- The Goal statement, as expressed in the PEMP. The Laboratory Leadership Goal statement is provided as an example:

#### *4.0 Provide Sound and Competent Leadership and Stewardship of the Laboratory*

*The Contractor's Leadership provides effective and efficient direction in strategic planning to meet the mission and vision of the overall Laboratory; is accountable and responsive to specific issues and needs when required; and corporate office leadership provides appropriate levels of resources and support for the overall success of the Laboratory.*

- An executive summary of performance, noteworthy practices, and opportunities for improvement.

#### Score

The Score section of the Self-Appraisal report should include:

- A table that displays:
  1. The overall Goal score,
  2. The score for each Objective,
  3. The Objective weight,
  4. The total points achieved in each Objective (product of the Objective score and weight), and
  5. The total points attained in the Goal (a summation of the total points achieved in each Objective).

The Laboratory Management scoring table is provided as an example.

Element	Numerical Score	Objective Weight	Weighted Score	Total Points
<b>4.0 Effectiveness and Efficiency of Contractor Leadership and Stewardship</b>				
4.1 Provide a Distinctive Vision for the Laboratory and an Effective Plan for Accomplishment of the Vision to Include Strong Partnerships Required to Carry Out those Plans		40%		
4.2 Provide for Responsive and Accountable Leadership throughout the Organization		30%		
4.3 Provide Efficient and Effective Corporate Office Support as Appropriate		30%		
<b>Performance Goal 4.0 Total</b>				

### Performance Evaluation

The Performance Evaluation comprises the body of the Self-Appraisal report. This section should include:

- Evaluation of performance against each of the Measures, including:
  - Statement of the Measure. For example:
 

Measure 8.1.1: The Contractor will demonstrate Emergency Management commitment through developing a long term Emergency Operations Center (EOC) improvement plan for the improvement of emergency operations.
  - Statement of the corresponding Target. For example:
 

FY 2008 Target: Complete assessment of the existing Emergency Operations Center and related training activities, which results in the development of a graded EOC improvement plan approved for funding by September 30, 2008.
  - Grade (A+ to F) of each Measure, evaluated against the Target gradients, and
  - Concise statement of performance in each Measure that includes specific details and sufficient data to justify the score.
  - Note: Statements of performance should be more descriptive for Measures in which performance either exceeds or falls short of Targets.
- Explanation of grade adjustments due to condition changes or mitigating factors,
- Relation of the Measure grades to the Objective scores, including accounting for Measure weighting (as appropriate), and
- Description of significant accomplishments and opportunities for improvement.

For PEMP Measures that reference submeasures and task listings in associated protocol documents (i.e. Performance Assessment Model, Balanced Scorecard, etc.), the following guidance applies:

- Reference associated protocol documents.

- When submeasures contribute to a Measure grade, the evaluation of performance in each submeasure should include:
  - Grade of each submeasure (as appropriate),
  - Statements of performance,
  - Description of significant accomplishments and opportunities for improvement.

#### Other

The Self-Appraisal report can also include information not specific to performance against the FY08 contract measures. For example, significant accomplishments and any lessons learned or opportunities for improvement observed should be included in the Self-Appraisal. In addition, the report should describe improvements implemented in response to opportunities for improvement identified in the *DOE FY07 Performance Evaluation and Appraisal Report for LBNL* and the *FY07 UCOP/ LBNL Self-Appraisal Report*.

#### Attachments

All Self-Appraisal reports should include attachments. The guidance for attachments follows:

- Attach all protocol documents, including Performance Assessment Models and Balanced Scorecards, and
- Attach reports from operations that require DOE mandated, function-specific documents, such as Procurement and Property.
- Do not attach supporting documents to the Self-Appraisal report. Rather, create an “evidence file” that lists all supporting documents and the corresponding responsible managers. This listing should be the final attachment.

<b>LBNL Performance Assessment FY08</b> <b>Functional Managers</b>				
<b>Functional Manager</b>	<b>BSO</b>	<b>LBNL</b>	<b>UCOP</b>	<b>OIA Contact</b>
<b>Goal 4 Provide Sound and Competent Leadership and Stewardship of the Laboratory</b>	Aundra Richards	John Chernowski	Buck Koonce	John Chernowski
<b>Goal 5 Sustain Excellence and Enhance Effectiveness of Integrated Safety, Health, and Environmental Protection</b>	Mary Gross	Howard Hatayama	Buck Koonce	Michelle Flynn
<b>Goal 6 Deliver Efficient, Effective, and Responsive Business Systems and Resources that Enable the Successful Achievement of Laboratory Missions</b>	See below (established at Objective level)	See below (established at Objective level)	See below (established at Objective level)	See below (established at Objective level)
6.1. Provide an Efficient, Effective, and Responsive Financial Management System	Doug Low	Michele Mock	Jim Hirahara	Ira Nishibayashi
6.2. Provide Efficient, Effective, and Responsive Acquisition Systems	Maria Robles	Derrol Hammer	Jim Hirahara	Ira Nishibayashi
6.3. Provide an Efficient, Effective, and Responsive Property Management System	Maria Robles	Derrol Hammer John T. Morgan	Jim Hirahara	Ira Nishibayashi
6.4. Provide an Efficient, Effective, and Responsive Human Resources Management System	Chuck Marshall	Cynthia Coolahan	Jim Hirahara	Melanie Gravois
6.5. Provide Efficient, Effective, and Responsive Management Systems for Internal Audit and Oversight; Quality; Information Management; and Other Administrative Support Services as Appropriate	See below	See below	See below	See below
Internal Audit and Oversight	Paul Sibal	Terry Hamilton	Jim Hirahara	Ira Nishibayashi
Information Management	Donna Spencer	Adam Stone	Buck Koonce	Ira Nishibayashi
6.6. Demonstrate Effective Transfer of Technology and Commercialization of Intellectual Assets	Gary Drew	Cheryl Fragiadakis	Bill Eklund	Melanie Gravois
<b>Goal 7 Sustain Excellence in Operating, Maintaining, and Renewing the Facility and Infrastructure Portfolio to Meet Laboratory Needs</b>	Barry Savnik	Jennifer Ridgeway	Buck Koonce	Michelle Flynn
<b>Goal 8 Sustain and Enhance the Effectiveness of Integrated Safeguards and Security Management (ISSM) and Emergency Management Systems</b>	Rodney Royster	Dan Lunsford	Buck Koonce	Melanie Gravois